

22883

PATENT TRADEMARK OFFICE

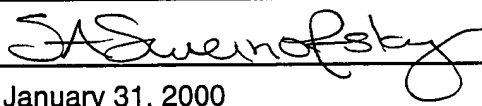
PTO/SB/21 (12-97)


Please type a plus sign (+) inside this box → ☒Approved for use through 9/30/00. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/093,533	
	Filing Date	June 8, 1998	
	First Named Inventor	Michael Malcolm	
	Group Art Unit	2756	
	Examiner Name	Not Assigned	
Total Number of Pages in This Submission	194	Attorney Docket Number	CASH-001

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Form PTO-1449; Cited Art; and Return Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Steven A. Swernofsky Reg. No. 33,040
Signature	
Date	January 31, 2000

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: January 31, 2000			
Typed or printed name	Arlette Malhas		
Signature		Date	January 31, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



22883

PATENT TRADEMARK OFFICE

PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 130

**Complete if Known**

Application Number	09/093,533
Filing Date	June 8, 1998
First Named Inventor	Malcolm et al
Examiner Name	Not Assigned
Group / Art Unit	2756
Attorney Docket No.	CASH-001

<b>METHOD OF PAYMENT</b> (check one)  1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  Deposit Account Number <u>50-0365</u>  Deposit Account Name <u>Steven A. Swernofsky</u>  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	<b>FEE CALCULATION</b> (continued)  3. <b>ADDITIONAL FEES</b> Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid <table><tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr><tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr><tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr><tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr><tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr><tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr><tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr><tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td>130</td></tr><tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr><tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146</td><td>690</td><td>246</td><td>345</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>149</td><td>690</td><td>249</td><td>345</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td colspan="5">Other fee (specify) _____</td><td></td></tr><tr><td colspan="5">Other fee (specify) _____</td><td></td></tr><tr><td colspan="5">* Reduced by Basic Filing Fee Paid</td><td></td></tr><tr><td colspan="5"><b>SUBTOTAL (3) (\$)</b> 130</td></tr></table>	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner	130	123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))		149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____						Other fee (specify) _____						* Reduced by Basic Filing Fee Paid						<b>SUBTOTAL (3) (\$)</b> 130				
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																																
139	130	139	130	Non-English specification																																																																																																																																																																																
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																
115	110	215	55	Extension for reply within first month																																																																																																																																																																																
116	380	216	190	Extension for reply within second month																																																																																																																																																																																
117	870	217	435	Extension for reply within third month																																																																																																																																																																																
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																																
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																																
119	300	219	150	Notice of Appeal																																																																																																																																																																																
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																
121	260	221	130	Request for oral hearing																																																																																																																																																																																
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																
143	430	243	215	Design issue fee																																																																																																																																																																																
144	580	244	290	Plant issue fee																																																																																																																																																																																
122	130	122	130	Petitions to the Commissioner	130																																																																																																																																																																															
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																
Other fee (specify) _____																																																																																																																																																																																				
Other fee (specify) _____																																																																																																																																																																																				
* Reduced by Basic Filing Fee Paid																																																																																																																																																																																				
<b>SUBTOTAL (3) (\$)</b> 130																																																																																																																																																																																				
<b>1. BASIC FILING FEE</b> Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid <table><tr><td>101</td><td>690</td><td>201</td><td>345</td><td>Utility filing fee</td><td></td></tr><tr><td>106</td><td>310</td><td>206</td><td>155</td><td>Design filing fee</td><td></td></tr><tr><td>107</td><td>480</td><td>207</td><td>240</td><td>Plant filing fee</td><td></td></tr><tr><td>108</td><td>690</td><td>208</td><td>345</td><td>Reissue filing fee</td><td></td></tr><tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr></table> <b>SUBTOTAL (1) (\$)</b>	101	690	201	345	Utility filing fee		106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	690	208	345	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>2. EXTRA CLAIM FEES</b> <table><tr><td colspan="2">Extra Claims</td><td>Fee from below</td><td>Fee Paid</td></tr><tr><td>Total Claims</td><td>-20** =</td><td>X</td><td></td></tr><tr><td>Independent Claims</td><td>-3** =</td><td>X</td><td></td></tr><tr><td>Multiple Dependent</td><td></td><td></td><td></td></tr></table> **or number previously paid, if greater; For Reissues, see below <table><tr><td colspan="2">Large Entity Small Entity</td><td>Fee Description</td></tr><tr><td>Fee Code (\$)</td><td>Fee Code (\$)</td><td></td></tr><tr><td>103</td><td>18 203</td><td>9 Claims in excess of 20</td></tr><tr><td>102</td><td>78 202</td><td>9 Independent claims in excess of 3</td></tr><tr><td>104</td><td>260 204</td><td>130 Multiple dependent claim, if not paid</td></tr><tr><td>109</td><td>78 209</td><td>39 ** Reissue independent claims over original patent</td></tr><tr><td>110</td><td>18 210</td><td>9 ** Reissue claims in excess of 20 and over original patent</td></tr></table> <b>SUBTOTAL (2) (\$)</b>	Extra Claims		Fee from below	Fee Paid	Total Claims	-20** =	X		Independent Claims	-3** =	X		Multiple Dependent				Large Entity Small Entity		Fee Description	Fee Code (\$)	Fee Code (\$)		103	18 203	9 Claims in excess of 20	102	78 202	9 Independent claims in excess of 3	104	260 204	130 Multiple dependent claim, if not paid	109	78 209	39 ** Reissue independent claims over original patent	110	18 210	9 ** Reissue claims in excess of 20 and over original patent																																																																																																																
101	690	201	345	Utility filing fee																																																																																																																																																																																
106	310	206	155	Design filing fee																																																																																																																																																																																
107	480	207	240	Plant filing fee																																																																																																																																																																																
108	690	208	345	Reissue filing fee																																																																																																																																																																																
114	150	214	75	Provisional filing fee																																																																																																																																																																																
Extra Claims		Fee from below	Fee Paid																																																																																																																																																																																	
Total Claims	-20** =	X																																																																																																																																																																																		
Independent Claims	-3** =	X																																																																																																																																																																																		
Multiple Dependent																																																																																																																																																																																				
Large Entity Small Entity		Fee Description																																																																																																																																																																																		
Fee Code (\$)	Fee Code (\$)																																																																																																																																																																																			
103	18 203	9 Claims in excess of 20																																																																																																																																																																																		
102	78 202	9 Independent claims in excess of 3																																																																																																																																																																																		
104	260 204	130 Multiple dependent claim, if not paid																																																																																																																																																																																		
109	78 209	39 ** Reissue independent claims over original patent																																																																																																																																																																																		
110	18 210	9 ** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																		

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Steven A. Swernofsky	Registration No. (Attorney/Agent)	33,040
Signature		Telephone	650-947-0700
		Date	1-31-00

**WARNING:**

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**PATENT (NON-APPLICATION) POSTCARD**

This confirms receipt of the following papers at the USPTO:

Docket No: CASH-001

Serial No: 09/093,533 Filing Date: June 8, 1998

Title of Inv: Network Object Cache Engine

First Named Inventor: Malcolm et al

**PAPERS FILED:**

- ☒ Transmittal Form SB/21  
☒ Fee Transmittal Form SB/17 (2 copies) -- Check no. 5075 \$ 130.00  
☐ Notice to File Missing Parts of Application (copy)  
☐ Declaration or Oath ☐ Power of Atty ☐ Combined Decl/Power of Atty  
☐ Small Entity Statement  
☐ Assignment(s) ☐ Recordation Cov Sht ☐ 37 CFR 3.73(b) Statement  
☒ Information Disclosure Statement with X Form 1449 X References  
☐ Request for Corrected Filing Receipt  
☒ Preliminary Amendment/OA Response ☒ Petition Routing Slip and  
Accompanying Petition  
☐ Notice of Appeal ☐ Appeal Brief  
☐ Issue Fee Transmittal (2 copies) ☐ Formal Drawings \_\_\_\_\_ sheets  
☒ OTHER Return Postcard

Attorney: Steven A. Swernofsky PTO Customer No: 22883

Mailed By: ACM Mailing Date: 1/31/00

**PATENT (NON-APPLICATION) POSTCARD**

This confirms receipt of the following papers at the USPTO:

Docket No: CASH-001

Serial No: 09/093,533 Filing Date: June 8, 1998

Title of Inv: Network Object Cache Engine

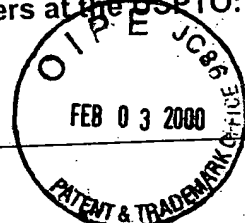
First Named Inventor: Malcolm et al

**PAPERS FILED:**

- ☒ Transmittal Form SB/21  
☒ Fee Transmittal Form SB/17 (2 copies) -- Check no. 5075 \$ 130.00  
☐ Notice to File Missing Parts of Application (copy)  
☐ Declaration or Oath ☐ Power of Atty ☐ Combined Decl/Power of Atty  
☐ Small Entity Statement  
☐ Assignment(s) ☐ Recordation Cov Sht ☐ 37 CFR 3.73(b) Statement  
☒ Information Disclosure Statement with X Form 1449 X References  
☐ Request for Corrected Filing Receipt  
☒ Preliminary Amendment/OA Response ☒ Petition Routing Slip and  
Accompanying Petition  
☐ Notice of Appeal ☐ Appeal Brief  
☐ Issue Fee Transmittal (2 copies) ☐ Formal Drawings \_\_\_\_\_ sheets  
☒ OTHER Return Postcard

Attorney: Steven A. Swernofsky PTO Customer No: 22883

Mailed By: ACM Mailing Date: 1/31/00



STEVEN A. SWERNOFSKY  
ATTORNEY AT LAW  
4970 WEST EL CAMINO REAL, SUITE 210  
LOS ALTOS, CA 94022

5075

90-4153/1211

COMMISSIONER OF  
PATENTS & TRADEMARKS

DATE 1/28/00

PAY  
TO THE  
ORDER OF

\$ 130.00

One - hundred & thirty & 00/100

DOLLARS  Security Features  
Included. Details on back.

MID-PENINSULA BANK

420 Cowper Street, Palo Alto, California 94301  
650-323-5150

FOR CASH-001 Pct. Filing Fee

*SA Swernofsky*

09/093, 533

⑈005075⑈ ⑆12114153410108589101⑈